



U.S. DEPARTMENT OF  
**ENERGY**

Office of  
Science

## **SLAC Site Office Annual Performance Plan**

Fiscal Year 2012

## MANAGER'S MESSAGE

*The SLAC Site Office (SSO) FY2012 Annual Performance Plan provides the Goals, Objectives and Measures to evaluate the site office performance in accomplishing its mission of managing and administering the contract with Stanford University (SU).*

*The overarching **Goal** is to enable world-class science at the SLAC National Accelerator Laboratory (SLAC).*

*The **Objectives** of this Plan are to:*

- *Establish clear performance objectives and measures for the organization that are aligned with DOE, Office of Science (SC), and SC Deputy Director for Field Operations FY2012 expectations;*
- *Communicate organizational planning priorities to DOE headquarters;*
- *Communicate goals and expectations to employees to provide linkages and accountability mechanisms to individual performance plans;*
- *Create a basis for strengthening and evaluating performance, conducting self-assessments, and driving the organization to continually improve its operations; and*
- *Create the basis for the Annual Assessment Report at the end of the year.*

*In FY2011, the major focus for the site office was in preparing for the contract extension with Stanford University (SU) and approving the SU Contractor Assurance System (CAS). Our performance against the FY2011 Annual Performance Plan notable outcomes continues to be excellent. The contract extension is drafted and undergoing review by ORO and SC. The SU CAS description was approved earlier in the year. The office established a team goal to encourage staff interaction and communication to enhance and provide a workplace for collaboration. I expect to achieve all of the Notable Outcomes for FY11.*

*The FY2012 APP goals and measures were developed based on the results of the FY2011 APP and the performance of the contractor. SSO developed goals/measures to fit within the framework of the SC overarching goals for FY2012. SSO's goals were further developed by revisiting past oversight activities, noting weaknesses and/or areas of risk and creating goals that address these areas of concern.*

*In particular, SSO's focus for FY2012 will be Work Planning and Control (WPC) for non-construction related activities as a result of the recent increase in SLAC's injury/incident rates, on the transition of surveillance, maintenance, and monitoring activities at SLAC from EM to SC, on requirements reduction, and, most importantly, on CAS implementation.*

*In FY2012, SSO will continue to work to become the model site office in the DOE by:*

- *Becoming the most **efficient and value-added** operation in the Office of Science;*
- *Fully **partnering** with the contractor to solve problems and **drive mission success**;*
- *Being a **fair and demanding customer, holding the contractor accountable** and ensuring the maximum return on investment made by the US taxpayer;*
- *Being a recognized **driver of innovation** within the Department of Energy.*

*To this end, we will work with our peers, contractor, and laboratory management to continuously improve our implementation of the assurance systems that will drive innovative and efficient support of the science mission.*

*To ensure successful mission accomplishment, SSO, SU and SLAC are partners committed to achieve the scientific objectives with defined roles and responsibilities established in the Partnering Commitment and Operating Model signed by all parties in 2008.*

*Hanley Lee, Acting Manager  
SLAC Site Office*

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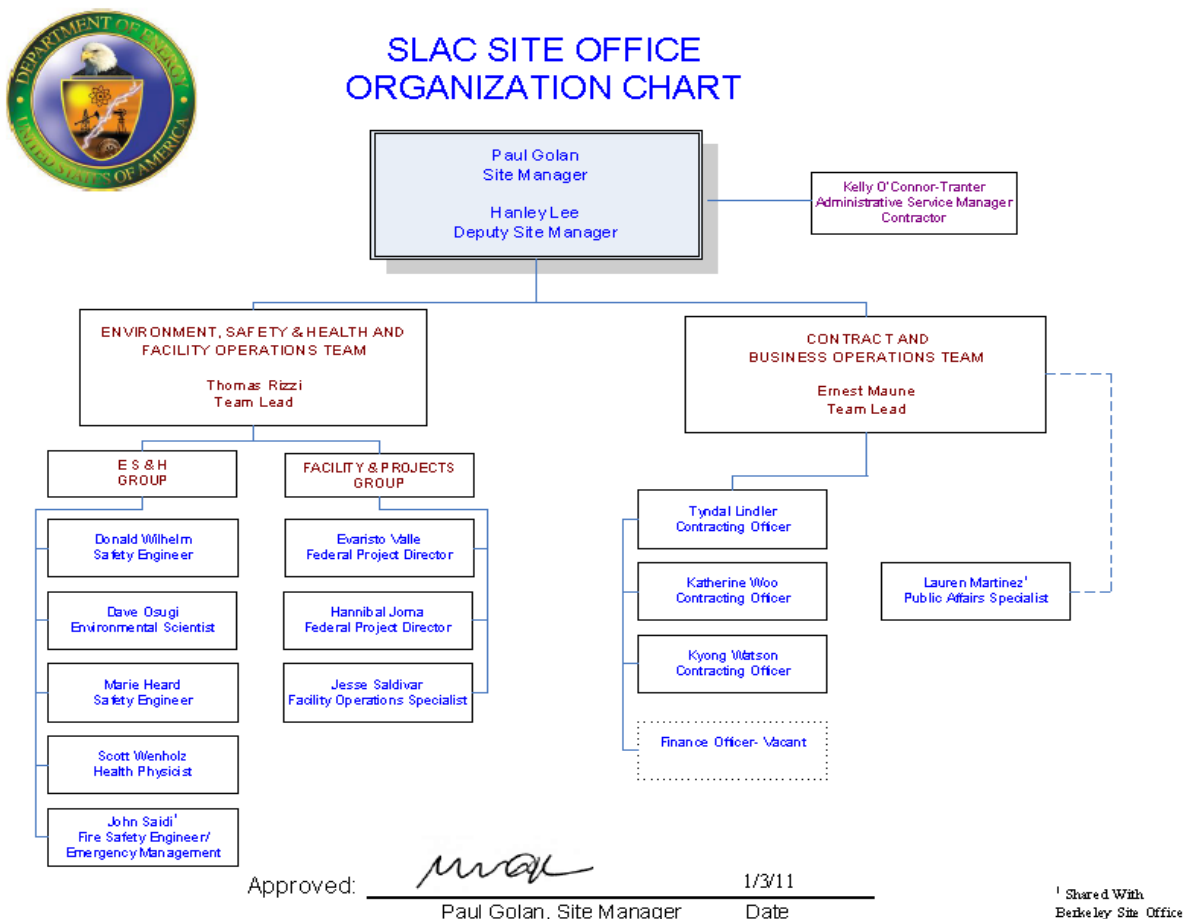
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## 1.0 Mission

The mission of the SLAC Site Office (SSO) is to effectively manage and administer the DOE performance-based management and operating contract for the safe, secure, effective, and efficient operation of the SLAC National Accelerator laboratory (SLAC) to support and sustain outstanding science.

The organizational relationship with DOE Office of Science (SC) and functions are described at the following website: [DOE Office of Science - Organization](#).

The SSO Annual Performance Plan (APP) is the highest-level document in the site office document hierarchy. The intent of the APP is to establish clear expectations for the SSO, which effectively implement SC goals, and to communicate these goals to the staff, incorporate them into their performance plans, and hold staff accountable for their sustained improved performance. The SSO organization is shown below.



Approved:

Paul Golan, Site Manager

1/3/11

Date

<sup>1</sup> Shared With  
Berkeley Site Office

## 2.0 Goals, Objectives, and Measures

The overall goal is to successfully plan and implement the SSO mission and functions through an effective and efficient organization, which allows the site office to contribute successfully to the overall SC and SLAC mission. The SSO will evaluate actual performance against the plan and report our progress against the objectives and measures to SC management.

SSO's performance objectives and measures are aligned with the SC Deputy Director for Field Operations organizational goals for FY2012: 1) Get Back to Basics; 2) Improve Our Laboratories and their Safe and Sustainable Operation; 3) Support But Confirm CAS Results; 4) Drive Mission-Outcome-Oriented Policies and Implementation Strategies, Internally and Across the Department.

GOAL 2.1  Get Back to Basics.	GOAL 2.2  Improve our Laboratories and their Safe and Sustainable Operation.	GOAL 2.3  Support But Confirm CAS Results.	GOAL 2.4  Drive Mission-Outcome-Oriented Policies and Implementation Strategies, Internally and Across the Department.
<b>DOE Strategic GOAL 4</b> <b>Management and Operational Excellence</b>	<b>DOE Strategic GOAL 2</b> <b>The Science and Engineering Enterprise.</b>	<b>DOE Strategic GOAL 2</b> <b>The Science and Engineering Enterprise.</b>	<b>DOE Strategic GOAL 4</b> <b>Management and Operational Excellence</b>
<i>SSO is a demanding and fair customer, holding the contractor accountable and getting the maximum out of the investment made by the US taxpayer.</i>	<i>SSO fully partners with the contractor to solve problems and drive mission success.</i>	<i>SSO fully partners with the contractor to solve problems and drive mission success.</i>	<i>SSO is recognized as a driver of innovation within the Department of Energy and strives to become the most efficient and value-added operation in the Office of Science</i>
<b>OBJECTIVES</b>	<b>OBJECTIVES</b>	<b>OBJECTIVES</b>	<b>OBJECTIVES</b>
1. Focus on requirements-based work and eliminate inherently non-government type activities, and stream-line processes to increase efficiency and productivity.	1. Maintain a continuing vigilance on safety to improve the Laboratory performance. Increased frequency of direct observation may be needed for degrading safety indicators.	1. Utilize the Contractor Assurance System as a cornerstone of the SC oversight and performance model for Laboratory operations.	1. Coordinate within SC to support data-based decision-making and to develop consistent policies and approaches.
<b>Measure:</b> <ul style="list-style-type: none"> <li>DOE (SSO) and the contractor (Stanford University) complete the contract extension by September 30, 2012.</li> <li>Evaluate SLAC's process for managing requirements and related information, including tracking requirements, their associated policy areas, owners, records of implementing mechanisms, and their flow down to implementing documents.</li> </ul>	<b>Measure:</b> <ul style="list-style-type: none"> <li>SSO staff to partner with the SLAC Facilities Manager to reduce the number of onsite vehicle accidents by 50% from FY2011.</li> <li>SSO staff to monitor the increase for injury rates, and partner with the Laboratory to reduce injuries and decrease the rate.</li> </ul>	<b>Measure:</b> <ul style="list-style-type: none"> <li>SSO collaborates with SU and the SLAC to prepare for the internal SU CAS assessment in October 2011 and the SC CAS Peer Review in January 2012, resulting in— <ul style="list-style-type: none"> <li>SSO, SU, and SLAC have no material findings by the Peer Review Team.</li> </ul> </li> </ul>	<b>Measure:</b> <ul style="list-style-type: none"> <li>Evaluate the contractor fairly and objectively based on achieving desired outcomes and notable outcomes. Establish a baseline of "organizational transactions" with the end point objective to eliminate all non-value added/required transactions between SSO, SU, and SLAC by end of FY2012.</li> </ul>

2. Develop the Federal workforce via available means, including as appropriate, Individual Development Plans, training and developmental assignments.	2. Continue to identify infrastructure needs and ensure ongoing SLI projects are delivered within the established cost, schedule, and scope. <b>Measure:</b> <ul style="list-style-type: none"><li>SSO staff to ensure the Research Support Building (RSB) and Science and User Support Building (SUSB) projects are safely and environmentally executed within scope, cost and schedule.</li></ul>	2. Use the Federal workforce to form a critical part of the Contractor, Parent Company, and Site Office Triangle. Continue the ongoing support for the CAS implementation process that has required resources and focused effort over the past several years.	2. Continue to develop and document SCMS as the “one way” SC does business; take further steps to harmonize practices within SC.
<b>Measure:</b> <ul style="list-style-type: none"><li>Evaluate the skills mix and training needs of the federal workforce to assure adequate staffing and competencies to continue to drive sustained operational excellence.</li></ul>		<b>Measure:</b> <ul style="list-style-type: none"><li>SSO will observe the internal SU CAS assessment to work with SU/SLAC to correct identified weaknesses/gaps prior to the SC CAS assessment in January 2012.</li><li>SSO will correct deficiencies identified by the ORO CAS Assist visit of the site office CAS process in FY11.</li></ul>	
3. Use Workforce Optimization to increase efficiency/effectiveness of Contractor/Federal staff.	3. Integrate creative financing ideas for new facility needs.	3. Challenging and continuous interactions with the Contractor organizations are needed to validate the reported outcomes of CAS.	3. Partner across the Department to drive development of innovative policy and practices, and implement mutually beneficial and fair solutions.
		<b>Measure:</b> <ul style="list-style-type: none"><li>Continue to implement successful partnership commitment between SSO, SLAC, and SU.</li><li>Implement PEMP process that evaluates SLAC fairly, holds them accountable for performance, and drives excellence in all aspects of their operations.</li></ul>	<b>Measure:</b> <ul style="list-style-type: none"><li>SSO collaborates with SLAC to define and approve the long term vision of the ERP system by December 31, 2011.</li><li>SSO provides relevant and timely feedback to SLAC management concerning the site’s oversight functions.</li></ul>
	4. Support Laboratory progress toward ISO 9000 Qualifications, the Voluntary Protection Program, and other certifications to improve performance.	4. Establish expectations that require the Federal workforce to be out in the Laboratory to observe work activities and confirm CAS results.	4. Resolve criteria and reach agreement on clean-up and transition of EM scope and resources.
		<b>Measure:</b> <ul style="list-style-type: none"><li>SSO validates the effectiveness of SU’s Contractor Assurance System, SLAC’s Management Plan, and SLAC’s Quality Assurance Plan in FY2012.</li><li>SSO to increase oversight focus to include non-construction related activities.</li></ul>	<b>Measure:</b> <ul style="list-style-type: none"><li>Site Transition Plan and EM/SC Transfer Memorandum will be signed in FY2012.</li></ul>
	5. Continue communication improvements focused on collaboration with the research programs to understand their needs and program challenges.		
	6. Focus on reduced response times for formal Laboratory requests and eliminate process steps wherever possible.		

	<p><b>Measure:</b></p> <ul style="list-style-type: none"> <li>SSO, SU, and SLAC will implement a Contract Requirements Review Initiative to examine contractor requirements, to determine essential requirements to achieve mission success while maintaining safe, secure, and environmentally sound operations.</li> </ul>		
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### **3.0 Oversight Plan**

#### **Field and Contract Oversight**

The ES&H and Facility Operations (EFO) Team conducts daily oversight, field observations, and formal assessments as part of the Integrated Assessment Schedule (IAS) to both evaluate the laboratory. These field observations and assessments are conducted by SSO, by the Oak Ridge Integrated Support Center (ISC), by SLAC, or SU with participation by the SSO. In addition to the IAS, SSO performs walkthroughs of projects (construction, environmental, accelerators, etc.) and operational facilities. EFO's focus for FY2012 will include an increased oversight of SLAC' Work, Planning, and Control process for non-construction work activities. The EFO Team also participates in meetings, readiness reviews, conferences, etc. to ensure proper oversight of the laboratory.

The Contracts and Business Operations Team (CBO) works with the ISC, the IG, and Stanford University to conduct reviews and audits of SLAC Finance, Accounting, Procurement, Fleet Management, Information Technology, and Human Resources departments. In addition, the CBM team also conducts reviews of selected procurement transactions and currently reviews all procurement transactions over \$5M. The CBO team is also actively involved in reviewing all SLAC internal business operation processes to ensure performance to federal regulations, the M&O contract and sound business management practices.

#### **Self Assessments**

The SSO conducts annual self-assessments and trending of site office operations to surface organizational strengths and weaknesses in order to correct deficiencies in a timely manner and to assure best practices remain in place and are continually improved. The self-assessment process ensures that an ongoing process is in place to continuously evaluate and document SSO's performance and compliance in oversight based on the requirements and expectations as set forth in DOE policies, SCMS procedures, DOE orders, manuals, etc. In FY11 SSO did self assessments on FEOSH, Document Control, Field Mini Assessment Processes, and most importantly CAS. No major findings were discovered from the self assessments and all the minor issues noted have been corrected.

#### **Data Collection and Feedback**

In keeping with the best safety practices and SCMS requirements, SSO quarterly analyzes ORION data entries, performs trending, and produces a trending report for the SSO Manager for the following SSO and SLAC programs, as appropriate:

- Operating Experience Program
- SSO and SLAC Injury and Illnesses
- SSO and SLAC items in the DOE CATS Database  
(<http://www.hss.energy.gov/CSA/CSP/CAMP/trackingsys.html>)
- SSO items in the ORION tracking Database

Based upon the trending report, and the performance of the site office and the laboratory, SSO shares findings from trending and other daily activities with SU and SLAC, and adds, modifies, or removes various oversight activities.

#### CAS Status and Implementation

The implementation of CAS at SLAC started over three years ago with the SU/SLAC/SSO Partnership Commitment agreement and Operating Model. The partners have worked together to implement the policies and procedures that are used to safely and effectively manage the many and varied site activities. SU submitted the CAS description in May 2011. The site office reviewed the SU CAS and found the description to meet the requirements of the H clause. The SU CAS was approved in August 2011.

SLAC brought experienced managers to the organization who were up to the challenge and SSO refined its oversight roles and responsibilities. In FY11, SLAC created an Office of Planning and Assessment (OPA) that will continue and focus SLAC's efforts to constantly improve its operations and safety standards. To date, OPA has performed a gap analysis of the H.033 clause and is directing resources to resolve issues. SLAC is scheduling a pre-review of CAS in October, 2011 with the SC CAS PEER review in January 2012. SLAC views CAS as an ongoing activity to constantly improve operations and not just a one time event. SSO is working with SLAC at all levels to assist their efforts and to offer expert advice from the experienced and knowledgeable SSO subject matter experts.

The SSO also performed its own self assessment of CAS with the assistance of SMEs from the OR Technical Support and Assistance Division. SSO evaluated itself against the CAS site office lines of inquire attributes. The SSO team compiled the supporting documentation and assigned staff to shore up the few items that were not up to par. SSO and the OR Technical Support and Assistance worked as a team to accurately document SSOs current position with respect to CAS and we built a site in SharePoint to compile the supporting documentation. SSO is fully prepared for its peer review in January, 2012.

#### 4.0 Integrated Assessment Schedule

The SSO coordinates with Stanford University and SLAC in preparing a three-year rolling schedule of planned oversight activities. Each organization identified assessments that are to be conducted during the next three years. As part of improving the overall integrated assessment process, SSO focuses their daily observations on improving performance and processes rather than only focusing on meeting compliance standards. SSO collaborates with SU and SLAC to eliminate redundant assessments, efficiently utilize resources by combining assessments, and deleting unnecessary assessments. In FY2012, the emphasis on oversight is based on SSO daily observations in focused areas including construction projects and operational facilities. Site office staff spends over 25% of their time in the field to ensure processes are implemented and actions are taken by SLAC to address deficiencies. The amount of daily oversight will lessen the need for formal assessments, as our staff is fully aware of activities and operations at the laboratory. This process will reduce the impact on each organization's resources and minimizes the impact on SLAC in preparing for assessments. The schedule includes, but is not limited to those assessments based on:

- Sensitivity to mission, organizational, or legal vulnerabilities.
- Contractor Assurance System (Managed Systems)
- Special reviews mandated by an internal or external entity.
- Independent assessments. (OIO, ISM, ISC Functional Reviews).
- Self-Assessments.
- Broad-scope reviews that provide information regarding overall program performance effectiveness.
- Any reviews external to SC, including those by State and Local agencies, other Federal agencies, other DOE elements, the GAO, IG, etc. should be included. SC reviews by either Office of Science or the various program offices should also be included.
- Review of site trending data.
- Analysis of hazards and risks.

The *FY2012 SSO/SU/SLAC Integrated Assessment Schedule* is included as Appendix A.

SSO collaborated with the Integrated Support Center at Oak Ridge to plan the assessment schedule and input assessments into the ORION automated system.

## Appendix A – SSO/SU/SLAC Integrated Assessment Schedule FY2012

Assessment Title	Assessment Sub Category	Other	Qtr Due	Description	Assessment Category	Assessment Type	Assessment Team	Directorate Being Assessed	Other Drivers
Air Quality Program	SSO	Daily Observation	1		DOE	External		Lab Wide	
Asbestos	Other	ESH Program	1	ESH Chapter 27. Compliance with drivers and SLAC requirements. Review written program or plan, review training records, observe work and interviews workers.	Mission-support program assessments	Self	SLAC Only	Lab Wide	*29 CFR 1926.1001 *29 CFR 1926.1101
Asbestos	SSO	Daily Observation	1		DOE	External		Lab Wide	
Biennial Review of Prices Charged for Materials & Services	Integrated Support Center (ISC)	Functional Review	1	Financial Management System Review, SLAC-Biennial Review of Prices Charged for Materials and Services	DOE	External		Operations Directorate	*DOE O 520.1A
BoO Finance & Audit Committee Meeting	BoO-Finance/Audit	Independent Review	1	Focusing on SLAC's financial and administrative policies, processes and systems as they support the SLAC mission and SLAC's control systems as they protect DOE and SU assets.	Stanford University	External		Lab Wide	
BoO Human Resources Committee Meeting	BoO-HR	Independent Review	1	Focusing on SLAC's HR administrative policies, processes and systems, including the compensation system and the succession planning process, as they support SLAC's mission while conforming to SU's human resource policies and practices.	Stanford University	External		Lab Wide	
BoO Operations Committee Meeting	BoO-OPS	Independent Review	1	Focusing on SLAC's support organizations, administrative policies, processes and systems, including strategic and operational plans and their adequacy to accomplish SLAC's mission and ensure safety, security and organizational compliance for staff, the public and the environment.	Stanford University	External		Lab Wide	
Cyber Security Program Baseline review	Other	Independent Review	1	Full scope with penetration testing.	Mission-support program assessments	Self	Peer	Lab Wide	*DOE Orders changed to a risk management framework and SLAC needs a baseline to begin development and implementation.
Engineering Review	N/A		1		Line management (organizational) review	Self	Peer	Accelerator Directorate	
Environmental Management System (EMS)	Joint Mgmt Review (SLAC/SSO)		1	EMS Program Description	Mission-support program assessments	Self	SLAC/SSO	Lab Wide	
FAC Review of the LCLS-II Project	Advisory Committee/ Panel		1		Mission program assessments	Self	Peer	Accelerator Directorate	
Facilities - Site Sustainability Plan	Other		1	Annual Summary of activities regarding sustainability	Mission-support program assessments	Self	SLAC Only	Operations Directorate	*EO 13514 *EO 13423
Facilities - Maintenance Management	SSO	Daily Observation	1		DOE	External		Operations Directorate	
Facilities - Site Sustainability Plan			1	Annual Summary of activities regarding sustainability issues	Mission-support program assessments	Self		Operations Directorate	*EO 13423 *EO 13514

## Appendix A – SSO/SU/SLAC Integrated Assessment Schedule FY2012

Assessment Title	Assessment Sub Category	Other	Qtr Due	Description	Assessment Category	Assessment Type	Assessment Team	Directorate Being Assessed	Other Drivers
GLAST International Finance Committee (IFC)	Advisory Committee/ Panel		1	Scheduled November 4/5	Mission program assessments	Self	Peer	Particle Physics and Astrophysics Directorate	
Hazardous Materials	SSO	Daily Observation	1	Hazardous Material Report	DOE	External		Lab Wide	*8 CCR; *24 CCR, Part 9; *29 CFR1910, Subpart H; *29 CFR 1910 - 199, 1000-1450; CA Fire Code; *ESH&H Manual Chap. 40
Hoisting & Rigging	SSO	Daily Observation	1	Safety plans, permits (critical lifts), NCCO Operator certifications	DOE	External		Lab Wide	*29 CFR 1926 Subpart N; *CCR T8, Article 74 (Cranes and Hoists); *ES&H Chapter 4
Large Synoptic Survey Telescope (LSST) Camera, CD-1	Office of Science (SC)	Independent Review/ SC-2/Lehman Review	1	Project Documents	DOE	External		Particle Physics and Astrophysics Directorate	
LCLS II CD-2 Director's Review	Project Director's Review		1		Mission program assessments	Self	Peer	Accelerator Directorate	
LCLS II Director's Review Dry Run	Other	Dry Run	1		Mission program assessments	Self	SLAC Only	Accelerator Directorate	
LCLS-II Project Lehman Review (CD3A)	Office of Science (SC)		1		DOE	External		Accelerator Directorate	
LCLS-II Project: CF Review - Independent Cost Estimate (Q1)	Other	Sector 10 Facility	1		Mission program assessments	Self	Peer	Accelerator Directorate	
LDAC (LCLS Detector Advisory Committee)	Advisory Committee/ Panel	Detector Advisory Committee	1	Semi-annual review of Detector priorities, research projects and user requirements	Mission program assessments	Self	Peer	LCLS Directorate	
LUSI CD-4 Readiness Review	Readiness Review		1		Mission program assessments	Self	Peer	Accelerator Directorate	
MECi Lehman Review	Office of Science (SC)		1		DOE	External		Accelerator Directorate	
PPA Advisory Committee	Advisory Committee/ Panel	Independent Review	1		Mission program assessments	Self	Peer	Particle Physics and Astrophysics Directorate	
Pressure Systems Safety	SSO	Daily Observation	1	Pressure System Safety Process, Pressure Vessels	DOE	External		Lab Wide	*29CFR 1910.106.(b)(1)(4)(a) Code for Uniformed Pressure Vessels, Sec. VIII - ASME Boiler & Pressure Vessels Code 1968

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Assessment Title	Assessment Sub Category	Other	Qtr Due	Description	Assessment Category	Assessment Type	Assessment Team	Directorate Being Assessed	Other Drivers
Quarterly Follow-up Reviews	Internal Audit		1	Quarterly verifications of open management actions from prior audits. Examine documentation that supports actions taken by management in determining completion.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan
Scientific Policy Committee	BoO-SPC		1	The Scientific Policy Committee (SPC) of the SLAC Board of Overseers (SLAC Board) seeks review the progress and direction of research at SLAC and to ensure that SLAC's science policy is supportive of DOE mission needs, as well as SU's educational and research goals, and is being executed in a manner that will advance the boundaries of scientific understanding. The SPC Committee Chair will submit a report to the SLAC Board Chair within two months following each of its meetings.	Stanford University	External		Lab Wide	*The SPC will meet twice a year. The area of focus for the SPC will be determined by the SLAC Board Chair, the SPC Committee Chair, and the Laboratory Director.
SPEAR3 MAC	Advisory Committee/ Panel		1	Review of SPEAR3 accelerator strategic plan	Mission program assessments	Self	Peer	Accelerator Directorate	
SU/SLAC/SSO CAS Dry Run	Readiness Review		1	Dry run peer review in preparation for January Review. LOI, interviews.	Mission-support program assessments	Self	Peer	Lab Wide	*Prep for Peer Review in January
2011 Activity Report for DOE	Internal Audit		2	Internal audit is responsible for preparing an annual activity report, which summarizes the internal audit activities performed at SLAC during the prior fiscal year. The report is due by January 31st of the following year. The report is addressed to the DOE Site Manager.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan
AD- FACET	Office of Science (SC)	Lehman Review	2	Project Review	DOE	External		Accelerator Directorate	
Allowable Costs	Internal Audit		2	The objectives of this extensive annual audit will be to review the system of internal controls and sample transactions to ensure that all costs incurred were allowable in terms of the contract. The contract provisions will be reviewed and if the following types of costs are found, they would be examined, discussed and noted: (1) expressly unallowable costs, (2) costs with contractual limitations, which if exceeded, would be unallowable, and (3) costs requiring DOE approval.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan
BES Triennial Review	Office of Science (SC)	BES	2	A periodic DOE sponsored independent review of lab performance metrics including: operational effectiveness, management, scientific achievement, user support, hours of operation, etc.	DOE	External		LCLS Directorate	
Construction Audit (Bldg 52)	Internal Audit		2	The audit's preliminary objective is to determine whether incurred costs are accurately reported and billed for the construction of Building 52.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan
Control of Hazardous Energy (CoHE)/Electrical Safety/LOTO	Other	ESH Program	2	Permits/EWPs, Safety plans, LOTO documentation. Compliance with drivers and SLAC requirements. Review written program or plan, review training records, observe work and interviews workers.	Mission-support program assessments	Self	SLAC Only	Lab Wide	*29 CFR 1910.147 & 1926 Subpart K; *CCR T8, Subchapter 5 ESOs; *ESH Chapter 8
Document Control	SSO	SSO Self Assessment	2	Record Keeping Requirements	DOE	External		Operations Directorate	*SCMS Records Management
ESH Training	SSO	Daily Observation	2	ESH Training Process	DOE	External		Lab Wide	*ISMS Three Year Cycle
Facilities - Integration of WPC for Construction	Other		2	Review a sample of 'red folders' from construction projects. Check for omissions or incorrect information. Report the summary of findings. Integration of WPC into in-house and contracting work. Compliance with drivers and SLAC requirements.	Mission-support program assessments	Self	SLAC Only	Operations Directorate	

## Appendix A – SSO/SU/SLAC Integrated Assessment Schedule FY2012

Assessment Title	Assessment Sub Category	Other	Qtr Due	Description	Assessment Category	Assessment Type	Assessment Team	Directorate Being Assessed	Other Drivers
Fall Protection	SSO	Daily Observation	2	Safety Plans, PWHAs, JSAs, NCCO	DOE	External		Lab Wide	*29 CFR 1926 Subpart M; *CCR T8 Article 24 (Fall protection); *ESH Chapter 45
Federal Employee Occupational Safety and Health (FEOSH)	SSO	SSO Self Assessment	2	Annual Workplace Safety and Health Inspection, SCMS Desk Guide	DOE	External		Lab Wide	*SCMS ES&H-FEOSH --DOE O 440.1B (not in contract)
Funds Commitment and De-commitment Procedures	Internal Audit		2	Review the controls, procedures and practices for ensuring funds, which are committed for a project or effort, are de-committed promptly once the project is completed. We will also review the controls and procedures for ensuring that balances on time-limited funds are either costed or de-committed prior to the end of the expired phase.	Stanford University	External		Operations Directorate	SU memo to CO: Proposed SLAC Internal Audit Plan
HR - Performance Evaluation Process	Other	Survey	2	Evaluate new performance review process and system.	Mission-support program assessments	Self		Operations Directorate	
Informal External Assessment Review – Pre and Post Award	Other		2	SLAC SCM will arrange for an externally lead review of the Procurement function. All pre and post award procurement processes; contracts; purchase orders; policies and procedures are subject to review. In addition, the effectiveness of Procurement management programs will be assessed.- The Compliance Manager will take the lead in arranging this assessment.- Team leader should be external to SLAC and may be a member of another Lab, government procurement function, or consultant. Team members may be a mix of external and internal members as determined by the Team Leader.- A formal report will be prepared by the Team Leader and provided SLAC SCM. The Compliance Manager is responsible for working with Procurement Manager to identify corrective action and resolving all open findings.- Results of the inspections will be reported on department metrics and will be incorporated in our Balanced Scorecard report to DOE.	Mission-support program assessments	Self	Peer	Operations Directorate	
Internal Communications	Other		2	Greater measurement of employee engagement through surveys and focus groups to measure quantity and quality of internal communications.	Mission-support program assessments	Self	SLAC Only	Operations Directorate	
Laboratory Directed Research & Development (LDRD) Certification	Integrated Support Center (ISC)	Independent Review	2	Management Self-Assessment	DOE	External		Photon Science Directorate	
Large Synoptic Survey Telescope (LSST) Camera, CD-2	Office of Science (SC)	Independent Review/SC-1.3	2	Project Documents	DOE	External		Particle Physics and Astrophysics Directorate	
LCLS-2 Lehman Review (CD-1)	Office of Science (SC)		2	Meeting minutes and supporting documentation located at this site: <a href="https://slacspace.slac.stanford.edu/sites/reviews/lclsii/cd1_apr_2011/Pages/default.aspx">https://slacspace.slac.stanford.edu/sites/reviews/lclsii/cd1_apr_2011/Pages/default.aspx</a>	DOE	External		Accelerator Directorate	
LCLS-II Project DOE CD-2 Review	Office of Science (SC)	Independent Review (Lehman Review)	2	Project Documents	DOE	External		Accelerator Directorate	

## Appendix A – SSO/SU/SLAC Integrated Assessment Schedule FY2012

Assessment Title	Assessment Sub Category	Other	Qtr Due	Description	Assessment Category	Assessment Type	Assessment Team	Directorate Being Assessed	Other Drivers
LCLS-II Project: CF Review - Independent Cost Review (Q2)	Other		2		Mission program assessments	Self	Peer	Accelerator Directorate	
Lead Safety	SSO	Daily Observation	2	ESH Chapter 20	DOE	External		Lab Wide	*29 CFR 1910.1025
NEPA	SSO	Daily Observation	2	NEPA	DOE	External		Lab Wide	*ISMS Three Year Cycle
Project Management	Internal Audit		2	Review the adequacy and effectiveness of controls over the project management process.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan
Quarterly Follow-up Reviews	Internal Audit		2	We conduct quarterly verifications of open management actions from prior audits. We examine documentation that supports actions taken by management in determining completion.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan
Radiation Waste Management	SSO	Walkthrough/Surveillance	2	Permits/Reports	DOE	External		Lab Wide	
Risk Assessment and Audit Plan	Internal Audit		2	Internal audit participates in an annual risk assessment of SLAC. This activity provides information for the audit plan development process. As part of the Cooperative Audit Strategy, internal audit prepares an annual audit plan which is proposed to the DOE contracting officer. This plan identifies the specific audits that will be performed during the following fiscal year. The plan is developed with input from the DOE oversight office, and SLAC's risk assessment.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan
San Mateo County Environmental Health	San Mateo County Envir. Health	Inspection	2	Inspection report	State/County/City	External		Lab Wide	*Title 22
SAREC Review	Effectiveness Review		2	SAREC evaluates the experimental program in ARD with emphasis on FACET	Mission program assessments	Self	Peer	Accelerator Directorate	
Security, Foreign Visits and Assignments	SSO	Independent Review	2	Unclassified Foreign Visits and Assignments	DOE	External		Operations Directorate	
Security, Physical	SSO	Independent Review	2	Physical Security	DOE	External		Operations Directorate	*DOE M 470.4-2A
Semi-Annual Subcontract File Inspections – Post Award	Other		2	Compliance Manager will select a sampling of 12-20 construction, service, and commodity contracts for review. Focus of the review will be on the post award documentation and management of the contract -- Files will be reviewed using a checklist. The Compliance Manager will normally conduct the review but may request additional reviewers to participate at not less than the Team Lead level. -- The Compliance Manager will prepare a findings/corrective action report and forward to the Supply Chain Director. Final results and report will be briefed to Procurement Management. The Compliance Manager is responsible for ensuring completion of corrective action to include identification of staff or customer training required to resolve comments. -- Results of the inspections will be reported on department metrics and will be incorporated in our Balanced Scorecard report to DOE	Mission-support program assessments	Self	SLAC Only	Operations Directorate	
SIMES Scientific Advisory Committee (SAC)	Advisory Committee/ Panel		2		Mission program assessments	Self	Peer	Photon Science Directorate	



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Assessment Title	Assessment Sub Category	Other	Qtr Due	Description	Assessment Category	Assessment Type	Assessment Team	Directorate Being Assessed	Other Drivers
SLAC CAS Review	SSO	Independent Review	2	CAS effectiveness	DOE	External		Lab Wide	
South Bayside System Authority Wastewater Inspection	South Bayside System Authority Wastewater	Inspection	2	Inspection report	State/County/City	External		Lab Wide	*SBSA Rules and Regulations
Spills/SPCC and TSCA	SSO	Daily Observation	2	SPCC, ESH Chapter 16	DOE	External		Lab Wide	*ISMS Three Year Cycle
SSRL Scientific Advisory Committee	Advisory Committee/ Panel		2	The SSRL Scientific Advisory Committee meets twice a year.	Mission program assessments	Self	Peer	SSRL Directorate	
Structural Molecular Biology Advisory Panel	Advisory Committee/P anel		2		Mission program assessments	Self	Peer	SSRL Directorate	
SU/SLAC/DOE Contractor Assurance System Peer Review	Other	Independent Review	2	SU Contractor Assurance System (SUCAS) and SLAC Assurance Program Description. This is dry run for the CAS Peer Review in Jan2012.	Mission-support program assessments	Self		Lab Wide	*H clause of Contract
Subcontract Administration (including a review of the Service Contract Process)	Internal Audit		2	Review the subcontract administration process for multi-year contracts exceeding \$5 million to ensure they are managed according to DOE requirements. We will also review the adequacy and effectiveness of SLAC's controls over large, long term service contracts.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan
SUNCAT Scientific Advisory Committee	Advisory Committee/ Panel		2	The SUNCAT Scientific Advisory Committee meets annually	Mission program assessments	Self	Peer	Photon Science Directorate	
Unclassified Cyber Security Program Audit	Office of Inspector General		2	IT General & Application Controls, FISMA (limited), IT Vulnerability Assessment (limited, follow up on prior year). The IT portion of the Audit will be performed in conjunction with the FY12 evaluation of the Department's Unclassified Cyber Security Program. Contact either of the SLAC contacts listed above for final report. The actions from the audit have been entered as Plans of Actions and Milestones with DOE/Office of Science and their status is reportable quarterly under FISMA (Federal Information Security Management Act).	DOE	External		Lab Wide	
Use of Stanford University Facilities Space	Internal Audit		2	Review SLAC's use of SU facilities to ensure that space utilization is based on an adequate needs assessment and results in most advantageous and economical cost to the government	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan
Waste Minimization/ Pollution Prevention	SSO	Daily Observation	2	Annual Report, ESH Chapter 22	DOE	External		Lab Wide	*DOE O 436.1 [DOE O 450.1A] *EO 13423 *EO 13514
A-123 Testing of Internal Controls, OMB Circular	Internal Audit		3	This ongoing activity (which started in June 2006) continues the review of inherent risks and associated controls over financial reporting. Baseline testing for all sub-processes was completed in July 2007. The DoE has implemented a cyclical testing approach, which identifies sub-processes that are to be tested no less than once every three years. During 2010 DOE changed the reporting tool used for A-123 reporting. Processing this change will continue during 2012.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan

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AD-MECi	Office of Science (SC)	Independent Review (Lehman Review)	3	Project Documents	DOE	External		Accelerator Directorate	
AD-RSB	Office of Science (SC)	Critical Decision (CD-x)	3	Project Documents	DOE	External		Operations Directorate	
Annual Financial Management Systems Review	Integrated Support Center (ISC)	Functional Review	3	Financial Management System Review - SLAC-Financial Transaction Records, Control Ledgers, & Financial Reports. Concentration on Indirect Burdening of Unallowable Cost.	DOE	External		Operations Directorate	
ARRA - SSRL Seismic Upgrade	Office of Science (SC)	Independent Review	3	Project Documents	DOE	External		Operations Directorate	
Audit Resolution & Follow-up	Integrated Support Center (ISC)	Functional Review	3	Financial Management System Review - SLAC-Audit Resolution and Follow-up System Review	DOE	External		Operations Directorate	
Beryllium	SSO	Daily Observation	3	ESH Chapter 5	DOE	External		Lab Wide	*10CFR850
Biennial Review of Prices Charged for Materials & Services	Integrated Support Center (ISC)	Functional Review	3	Financial Management System Review, SLAC-Biennial Review of Prices Charged for Materials and Services	DOE	External		Operations Directorate	
BoO F&A Independent Review	BoO-Finance/Audit	Independent Assessment	3	Placeholder. Request from B. Madia per email 8/23/11. Randy is Vice President Bus Affairs & CFO, SU	Stanford University	External		Lab Wide	
BoO HR Independent Review	BoO-HR	Independent Assessment	3	Placeholder. Request from B. Madia per email 8/23/11. David is Vice President in Human Resources, SU.	Stanford University	External		Lab Wide	
Budget Validation Review	Integrated Support Center (ISC)	Functional Review	3	Financial Management System Review	DOE	External		Operations Directorate	
Communications - Media Relations	Other	Survey	3	Conducted to better understand media coverage at SLAC and establish baseline for measurement in increases in coverage through media monitoring. Timeline: Q3 2011 and onward.	Mission-support program assessments	Self		Operations Directorate	
Confined Space Entry	SSO	Daily Observation	3	Permits	DOE	External		Lab Wide	*Contract §1910.146 Permit Required Confined Space *ES&H Chapter 6
Construction Safety	SSO	Daily Observation	3	Safety Plans, PWHAs, JSAs	DOE	External		Lab Wide	*29 CFR 1910 and 1926; *CCR Title 8 (T8); *ES&H Chapter 42
Controls Over ARRA Funding	Internal Audit		3	Review the adequacy of controls established to ensure ARRA funding is managed according to Department of Energy (DOE) requirements. These reviews will be performed as joint projects with several other laboratories and under the direction of the ORO/FEAD group.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan
Cryogen and Oxygen Deficiency Safety	SSO	Daily Observation	3	Course #170	DOE	External		Lab Wide	

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Cyber Security	Other		3	SLAC Cyber Security Program/PII - Loss of Important/Sensitive Information	Mission-support program assessments	Self		Operations Directorate	*SLAC Department Head Requirement to keep PII information secure
Environmental Radiation	SSO	Daily Observation	3	NESHAPs Report	DOE	External		Lab Wide	
FAC Review of LCLS-II Project	Advisory Committee/Panel		3		Mission program assessments	Self	Peer	Accelerator Directorate	
Facilities - Active Facilities Data Collection System AFDCS	Office of CFO	afdc.spp.com	3	Used for financial liability reporting at the DOE level. Data is requested annually based on FIMS. Facilities sends the list to ES&H for review/revision, then enters into database. AFDCS then sends a report listing liability. AFDCS may conduct an on -site verification of the data submitted. Typically this happens every 5 years.	DOE	External		Operations Directorate	*Government Management Reform Act of 1994, Section 405. Used to estimate the costs of addressing contaminated facilities at the end of their useful lives.
Facilities - FIMS Validation	SSO	Independent Review	3	FIMS Database	DOE	External		Operations Directorate	
Financial Statement Audit	Office of Inspector General	Independent Review	3	Financial Audit - SLAC-Financial Statements	DOE	External		Operations Directorate	
Funds Control System - Limited Use Appropriations	Integrated Support Center (ISC)	Functional Review	3	SLAC-Funds Control Process	DOE	External		Operations Directorate	
Hazardous Materials	SSO	Daily Observation	3	Hazardous Material Report	DOE	External		Lab Wide	*8 CCR; *24 CCR, Part 9; *29 CFR1910, Subpart H; *29 CFR 1910 - 199, 1000-1450; *California Fire Code; *ESH&H Manual Chap. 40
Hoisting & Rigging	SSO	Daily Observation	3	Safety plans, permits (critical lifts), NCCO Operator certifications	DOE	External		Lab Wide	*29 CFR 1926 Subpart N; *CCR T8, Article 74 (Cranes and Hoists); *ES&H Chapter 41
Laser Safety	SSO	Daily Observation	3	ESH Chapter 10	DOE	External		Lab Wide	*ANSI Z136.1
LCLS SAC	Advisory Committee/Panel		3		Mission program assessments	Self	Peer	Accelerator Directorate	
LCLS-II Project Lehman Review	Office of Science (SC)	Independent Review (Lehman Review)	3	Project Documents	DOE	External		Accelerator Directorate	
LUSI Lehman Review (CD-4)	Office of Science (SC)	CD-4	3		DOE	External		Accelerator Directorate	
Mission Readiness	Readiness Review		3	Evaluate SLACs implementation of Office of Science Mission Readiness process.	Mission-support program assessments	Self	Peer	Lab Wide	

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Assessment Title	Assessment Sub Category	Other	Qtr Due	Description	Assessment Category	Assessment Type	Assessment Team	Directorate Being Assessed	Other Drivers
Mobile Elevated Work Platforms	SSO	Daily Observation	3	Mobile Elevated Work Platforms process	DOE	External		Lab Wide	*29CFR1910, Subpart F *ISMS Three-year cycle
Nanosafety	Other	ESH Program	3	Nanomaterial Safety Plan. Compliance with drivers and SLAC requirements. Review written program or plan, review training records, observe work and interviews workers.	Mission-support program assessments	Self	SLAC Only	Lab Wide	
Packaging & Transportation	SSO	SSO Self Assessment	3	Scope includes: Radioactive and hazardous material packaging and transportation program procedures, training & qualification of packaging and transportation staff; packaging procurement.	DOE	External		Operations Directorate	
Penetration Safety	SSO	Daily Observation	3	Penetration Permit Process	DOE	External		Lab Wide	*ISMS Three Year Cycle
PERT Review	Effectiveness Review	Independent Review	3	Conduct Assessment IAW PERT Peer Review Program for Federal Procurement and Contractor Purchasing Systems.	Mission-support program assessments	Self	Peer	Operations Directorate	DEAR 970.4402-2
Powered Industrial Vehicles	SSO	Daily Observation	3	Powered Industrial Vehicles Process	DOE	External		Lab Wide	*ISMS Three Year Cycle
PPA Advisory Committee	Advisory Committee/ Panel	Independent Review	3		Mission program assessments	Self	Peer	Particle Physics and Astrophysics Directorate	
Property Controls Over IT Related Property	Internal Audit		3	Conduct an audit on the property controls over Information Technology-related property	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan for FY 2012
Quarterly Follow-up Reviews	Internal Audit		3	Quarterly verifications of open management actions from prior audits. Examine documentation that supports actions taken by management in determining completion.	Stanford University	External		Operations Directorate	SU memo to CO: Proposed SLAC Internal Audit Plan
Radiation Protection	SSO	Daily Observation	3	Radiation Protection Program (RPP) and programs	DOE	External		Lab Wide	*10 CFR 835
Reporting	SSO	Daily Observation	3	PNR, SU-17B, First Aid/TRC/DART Report, ORPS Database, NTS Database, CFR851/835 Worksheet, ORION	DOE	External		Lab Wide	*10CFR851/830/835; *DOE O 226.1B; *DOE O 231.1A[B]; *DOE M 231.1-1A; *DOE M 231.1-2
Review of service/ construction contracts	Other		3	Conduct a review of service/construction contracts awarded after the eVerify language was placed in our prime that shows: - Date new requirement went into effect in our prime: - Date we amended our template terms and conditions for new awards: - # of Service/Construction contracts/orders affected by the new requirement from inception to current date: - Then do a random sampling (10% or so) of those contracts to see if we've complied and report on percentage of compliance.	Mission-support program assessments	Self	SLAC Only	Operations Directorate	DOE eVerify contract requirements
Review of Statement of Costs Incurred & Claimed	Office of Inspector General	Independent Review	3	Financial Management System Review	DOE	External		Operations Directorate	

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Assessment Title	Assessment Sub Category	Other	Qtr Due	Description	Assessment Category	Assessment Type	Assessment Team	Directorate Being Assessed	Other Drivers
S&T review of HEP program	Office of Science (SC)	Independent Review	3		DOE	External		Particle Physics and Astrophysics Directorate	
SAC (Scientific Advisory Committee)	Advisory Committee/Panel		3	Scientific Advisory Committee	Mission program assessments	Self	Peer	LCLS Directorate	
Scientific Policy Committee	BoO-SPC		3	The Scientific Policy Committee (SPC) of the SLAC Board of Overseers (SLAC Board) seeks review the progress and direction of research at SLAC and to ensure that SLAC's science policy is supportive of DOE mission needs, as well as SU's educational and research goals, and is being executed in a manner that will advance the boundaries of scientific understanding. The SPC Committee Chair will submit a report to the SLAC Board Chair within two months following each of its meetings.	Stanford University	External		Lab Wide	The SPC will meet twice a year. The area of focus for the SPC will be determined by the SLAC Board Chair, the SPC Committee Chair, and the Laboratory Director.
SLAC Property/Fleet Review	Integrated Support Center (ISC)	PERT	3	SLAC-Personal Property Management Guide. Not required if completed in 2011.	DOE	External		Operations Directorate	*I.0126 DEAR 970.5245-1 Property (DEC 2000)
SPEAR SAC	Advisory Committee/Panel		3		Mission program assessments	Self	Peer	Accelerator Directorate	
SSRL Scientific Advisory Committee	Advisory Committee/Panel		3	The SSRL SAC meets twice a year. Once in January and once in June	Mission program assessments	Self	Peer	SSRL Directorate	
Storm Water and Industrial Wastewater	SSO	Daily Observation	3	Storm Water Pollution Prevention Program	DOE	External		Lab Wide	*ISMS Three Year Cycle
Terms & Conditions for Subcontractors & SLAC's Purchasing Procedures	SSO	Independent Review/Surveillance	3	Review/Surveillance. Internal Audit Recommendations, SLAC Purchasing Procedures, Subcontract Reviews, Terms And Conditions	DOE	External		Operations Directorate	*DEAR 970.5344-1 Contractor Purchasing Conditions
Transportation & Packaging Safety	SSO	Daily Observation	3	Plans/Reports	DOE	External		Operations Directorate	*49 CFR 171-179
Validation Review of Environmental Management System	SSO		3	SSO validation review of the Environmental Management System, with support from Oak Ridge Office.	DOE	External		Lab Wide	*DOE Order 436.1; EO 13423
A-123 Appendix A, Internal Control Testing	Integrated Support Center (ISC)	Functional Review	4	Financial Management System Review - SLAC-Financial Transaction Records, Control Ledgers, and Financial Reports	DOE	External		Operations Directorate	*Interim Guidance for Office of Management and Budget Circular A-123
A-123 Validation Review	Integrated Support Center (ISC)	Independent Review	4	Financial Management System Review - SLAC-Financial Transaction Records, Control Ledgers, and Financial Reports	DOE	External		Operations Directorate	*Interim Guidance for Office of Management and Budget Circular A-123
Air Quality Program	Other	ESH Program	4	Compliance with drivers and SLAC requirements. Review written program or plan, review training records, observe work and interviews workers.	Mission-support program assessments	Self		Lab Wide	*ISMS Three Year Cycle

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Assessment Title	Assessment Sub Category	Other	Qtr Due	Description	Assessment Category	Assessment Type	Assessment Team	Directorate Being Assessed	Other Drivers
Audit Committee, Management Meetings and other Administrative Activities	Internal Audit		4	This activity includes participation in the SLAC Board of Overseers Finance and Audit Committee meetings established by SU in FY08 and periodic meetings with SLAC senior management to enhance communications relating to significant issues of concern to SLAC and SU and responding to other requests from DOE and SLAC management.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan for FY 2012
BoO Ops Independent Review	BoO-OPS	Independent Assessment	4	Placeholder. Request from B. Madia per email 8/23/11. Larry is the Associate Vice Provost in Environmental Health and Safety, SU.	Stanford University	External		Operations Directorate	
Cyber Security Risk Assessment	Other		4	Risk assessment as part of the periodic process to assess the Lab's cyber security posture and to determine if the existing risks are sufficiently mitigated to grant the Lab "Authority To Operate" the information systems. [In the process of converting to a Risk Management Approach (RMA), described in more detail in a future document from the Office of Science (SC)]. Update to the current Program Cyber Security Plan (PCSP). For a copy of the Final Report, contact either of the SLAC contacts listed above.	Mission-support program assessments	Self	SLAC Only	Lab Wide	*Defined by FISMA legislation
DOELAP - External Personnel Dosimetry Accreditation Review	Office of Science (SC)	Audit	4	DOELAP	DOE	External		Operations Directorate	*10 CFR 835
Emergency Management and Preparedness	Joint Mgmt Review (SLAC/SSO)	ESH Program	4	Emergency Preparedness Plan, Hazard Assessment report, Emergency Plan Implementation Procedures (EPIPs), Emergency Readiness Assurance Plan (ERAP)	Mission-support program assessments	Self	SLAC/SSO	Lab Wide	*29 CFR 1910.120, Subpart H; *NFPA 1600; *ESH Chapter 37; *DOE O 420.1B and Guide (G-420.1).
Excavations	SSO	Daily Observation	4	Safety Plans, PWHAs, JSAs, permits	DOE	External		Lab Wide	*29 CFR 1926 Subpart P; *CCR T8 Art. 6 (Cal/OSHA) for LCLS); *Cal/OSHA Title 8, Subchapter 20; *ES&H Chapter 11
Facilities - Seismic Safety	Integrated Support Center (ISC)	Independent Review	4	Plans/Reports	DOE	External		Operations Directorate	
FEL R&D Plan review	Other		4	Review of the FEL R&D plan to be carried out at SLAC assessing value and priorities of outcomes	Mission program assessments	Self	Peer	Accelerator Directorate	
Fire Protection	Joint Mgmt Review (SLAC/SSO)	ESH Program	4	Program Description, Program Self-Assessments, Supporting Reports and Documents, Annual Summary	Mission-support program assessments	Self	SLAC/SSO	Lab Wide	*DOE O 231.1A; --DOE O 440.1B (not in contract) *29 CFR, Sub. E; *29 CFR 1910.120, Sub. H & L/ *29 CFR 1926, Sub. F; *DOE Std. 1088-95; *DOE Std 1066; *SLAC ES&H Cpt. 12.

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Hearing Conservation	SSO	Daily Observation	4	ESH Chapter 18	DOE	External		Lab Wide	*29 CFR 1910.95; *29 CFR 1926.52; *10 CFR 851
Internal Control Consultation	Internal Audit		4	Internal audit provides time on the annual audit plan to perform consulting effort for SLAC. This is based on requests from the DOE Site Office, SLAC management, or the Finance and Audit committee of the Board of Overseers.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan for FY 2012
ISEMS Effectiveness Review	Effectiveness Review		4	ISM Description via WSHP	Mission-support program assessments	Self	SLAC Only	Lab Wide	*DEAR 970-5204-2
ISEMS/Work Planning and Control (WP&C)	Joint Mgmt Review (SLAC/SSO)	ESH Program	4	Worker Safety & Health Plan. Compliance with drivers and SLAC requirements. Review written program or plan, review training records, observe work and interviews workers.	Mission-support program assessments	Self	SLAC/ SSO	Lab Wide	* DEAR 970-5204-2. Emphasis on WPC as it relates to Building and Area Managers releasing work.
Ladder/Scaffold Safety	SSO	Daily Observation	4	Ladder/Scaffold Process	DOE	External		Lab Wide	*29 CFR 1926,Subpart L; *29 CFR 1926,Subpart X; *ISMS Three Year Cycle
Machine Guarding	SSO	Daily Observation	4	Machine Guarding Process	DOE	External		Lab Wide	*29CFR1910, Subpart O; *ISMS Three Year Cycle
MECi Lehman (Cd-4) Review	Office of Science (SC)		4	Office of Project Assessment review for Critical Decision 4, project completion.	DOE	External		Accelerator Directorate	
Non-Ionizing Radiation	SSO	Daily Observation	4	ESH Chapter 50	DOE	External		Lab Wide	*29 CFR 1910.97
Nuclear Material Control and Accountability	Joint Mgmt Review (SLAC/SSO)	ESH Program	4	Fractoid Excel Spreadsheet	Mission-support program assessments	Self	SLAC/ SSO	Operations Directorate	*10 CFR 830/835; *DOE Std 1027
Operations Customer Satisfaction Survey	Other	survey	4	Customer survey to SLAC community to assess the performance for the Ops divisions, including OCFO, Computing, Facilities, ES&H, HR, Communications. Done annually in July/Aug.	Mission-support program assessments	Self	SLAC Only	Operations Directorate	
Personal Protective Equipment	SSO	Daily Observation	4	ESH Chapter 19	DOE	External		Lab Wide	*10 CFR 851 *29 CFR 1910
Portable Hand Tools	SSO	Daily Observation	4	Portable Hand Tool Process	DOE	External		Lab Wide	*29CFR1926,Subpart I; *29CFR1910, Subpart P; *ISMS Three Year Cycle
Preliminary Effectiveness Review - Conduct of Engineering in AD	N/A		4	Conduct of Engineering initiated as a requirement within AD during Q3 of FY2011. This is intended as an initial review of effectiveness and/or obstacles of this program within AD.	Line management (organizational) review	Self		Accelerator Directorate	
Procurement - Customer Satisfaction Surveys	Customer Satisfaction Survey		4	Semi-annual customer satisfaction surveys--one in September and one in March.	Mission-support program assessments	Self	SLAC Only	Operations Directorate	
PULSE Institute Scientific Advisory Committee (SAC)	Advisory Committee/P anel		4		Mission program assessments	Self	Peer	Photon Science Directorate	

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Quarterly Follow-up Reviews	Internal Audit		4	Quarterly verifications of open management actions from prior audits. Examine documentation that supports actions taken by management in determining completion.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan
Respiratory Protection	Joint Mgmt Review (SLAC/SSO)		4	ESH Chapter 29	Mission-support program assessments	Self	SLAC/SSO	Lab Wide	*29 CFR 1910.134
Semi-Annual Subcontract File Inspections – Post Award	Other		4	Compliance Manager will select a sampling of 12-20 construction, service, and commodity contracts for review. Focus of the review will be on the post award documentation and management of the contract -- Files will be reviewed using a checklist. The Compliance Manager will normally conduct the review but may request additional reviewers to participate at not less than the Team Lead level. -- The Compliance Manager will prepare a findings/corrective action report and forward to the Supply Chain Director. Final results and report will be briefed to Procurement Management. The Compliance Manager is responsible for ensuring completion of corrective action to include identification of staff or customer training required to resolve comments. -- Results of the inspections will be reported on department metrics and will be incorporated in our Balanced Scorecard report to DOE.	Mission-support program assessments	Self	SLAC Only	Operations Directorate	
Special Reviews and Investigations	Internal Audit		4	Reviews performed in response to issues reported on the SU "Hotline".	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan for FY 2012
TBD – in support of SLAC Management	Internal Audit		4	Financial and Operational reviews in support of management.	Stanford University	External		Operations Directorate	*SU memo to CO: Proposed SLAC Internal Audit Plan for FY 2012
Theory, Particle Physics and KIPAC	Office of Science (SC)	Independent Review	4	Program Review	DOE	External		Particle Physics and Astrophysics Directorate	*Business Imperative
Waste Management (non Rad)	Other	ESH Program	4	Permits/Reports, ESH Chapter 17	Mission-support program assessments	Self	SLAC Only	Lab Wide	*Title 22 CCR; *40 CFR Part 262